

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(c)) - SMALL BUSINESS CONCERN

Applicant or Patentee: Diamond, Gary et al.

Application or Patent No.: To Be Assigned

Filed or Issued: Even Date Herewith

Title: HIGH THROUGHPUT SCREEN FOR IDENTIFYING POLYMERIZATION CATALYST  
FROM POTENTIAL CATALYSTS

I hereby declare that I am an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Symyx Technologies, Inc.  
ADDRESS OF SMALL BUSINESS CONCERN 3100 Central Expressway  
Santa Clara, California 95051

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare the rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled HIGH THROUGHPUT SCREEN FOR IDENTIFYING POLYMERIZATION CATALYST FROM POTENTIAL CATALYSTS by inventor Gary M. Diamond, Christopher Goh, Margarete K. Leclerc, Vince Murphy, and Howard W. Turner described in

☒ the specification filed herewith  
☐ Application No. \_\_\_\_\_, filed \_\_\_\_\_  
☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern that would not qualify as a small business concern under CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

\*NOTE: Separate verified statements are required for each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
☐ Individual ☒ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

NAME & TITLE Ronald A. Krasnow, V.P. and Chief Patent Counsel

ADDRESS OF PERSON SIGNING Symyx Technologies, Inc.  
3100 Central Expressway, Santa Clara, California 95051



Please type a plus sign in this box:

+

PTO/SB/01 (3-97)

Approved for use through 6/30/98. OMB 0651-0032

Patent and Trademark Office; US DEPARTMENT OF COMMERCE

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### DECLARATION - Utility Or Design Patent Application

I hereby claim the benefit under Title 35, United States Code §120 of any United States application(s) of any PCT International application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the matter provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S Parent Application Number	PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: ☒ Customer Number  
OR  
☐ Registered practitioner(s) name/registration number listed below

Name	Registration Number	Name	Registration Number
Ronald A. Krasnow	33,321		
Paul A. Stone	38,628		

☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to ☐ Customer Number or Bar Code Label or ☐ Correspondence Address below

Name			
Address			
City, State, Zip			
Country	Telephone	Fax	

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**Name of Sole or First Inventor** ☐ A petition has been filed for this unsigned inventor

Given Name (first and middle [if any])	Family Name or Surname
Gary M.	Diamond

Inventor's Signature					Dated		
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☐ Additional inventors are being named on the \_\_ supplemental additional inventor(s) sheet(s) PTO/SB/02A attached hereto.

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<b>Name of Inventor</b>		<input type="checkbox"/> A petition has been filed for this unsigned inventor					
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Christopher				Goh			
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Given Name (first and middle [if any])				Family Name or Surname			
Margarete K.				Leclerc			
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**Name of Inventor**

☐ A petition has been filed by this unsigned inventor

Given Name (first and middle [if any])

Family Name or Surname

Howard W.

Turner

**Inventor's  
Signature**

**Dated**

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